

SUBSTITUTE FORM PTO-1449 (MODIFIED) 66605	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. IBM/04	SERIAL NO. 08/822,053
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use several sheets if necessary)		APPLICANT Joseph P. Bigus et al.	
(37 CFR 1.98(b))		FILING DATE March 21, 1997	GROUP 2700

U.S. PATENT DOCUMENTS													
EXAMINER INITIAL		PATENT NUMBER			ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE				
G.D	A.A	5	1	5	5	7	6	3	10/13/92	Bigus et al.	379	113	12/11/90
	A.B												
	A.C												
	A.D												
	A.E												
	A.F												
	A.G												
	A.H												
	A.I												
	A.J												
	A.K												

FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS

		DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION (YES/NO)
	A.L						
	A.M						
	A.N						
	A.O						
	A.P						
	A.Q						

OTHER DOCUMENTS (Including Author, Title, Date, Place of Publication)

G.D	A.R	Gilbert et al., "IBM Intelligent Agents", http://www.networking.ibm.com/iag/iagwp1.htm1 , (1996).
G.D	A.S	"Commercial Expert System Shells", http://www.ioe.ac.uk/hgm/expert3.html , (1997).
G.D	A.T	"Commercial Software Packages for Neural Network Simulation", ftp://ftp.sas.com/pub/neural/FAQ6.html , (1997).

EXAMINER	DATE CONSIDERED
George Davis	6/25/98

EXAMINER: Initial if citation considered, whether or not in conformance. Draw line through citation only if not in conformance and not considered. Include a copy of this form with next communication to applicant.

FORM PTO-1449 (Modified)

LIST OF PATENTS AND PUBLICATIONS ON

APPLICANT'S INFORMATION

DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.
RO996-052SERIAL NO.
08/822,993APPLICANT:
Joseph P. Bigus et al.FILING DATE:
March 21, 1997GROUP:
Unassigned

2700

REFERENCE DESIGNATION

U.S. PATENT DOCUMENTS

EXAMINER INITIALS	DOCUMENT NUMBER								DATE	NAME	CLASS	SUB-CLASS	FILING DATE (IF APPRO.)
C-J	AA	4	9	1	4	5	8	5	04/03/90	Packard et al.	364	200	05/23/88
J.V.	AB	5	0	7	3	8	9	0	12/17/91	Peter J. Danielsen	370	58.2	12/30/88
G-O	AC	5	1	1	7	4	9	6	05/26/92	Stearns et al.	395	700	05/23/88
J.O.	AD	5	2	2	6	1	7	6	07/06/93	Westaway et al.	395	800	08/20/90
V.J.	AE	5	2	3	5	6	4	2	08/10/93	Wobber et al.	380	25	07/21/92
G.J.	AF	5	2	4	1	6	2	1	08/31/93	Ronald G. Smart	395	51	06/26/91
J.O.	AG	5	2	7	6	7	6	8	01/04/94	James L. Bander	395	10	03/20/91
C.J.	AH	5	3	0	1	3	2	0	04/05/94	McAtee et al.	395	650	06/28/91
J.V.	AI	5	3	1	7	6	8	8	05/31/94	Ralph T. Watson et al.	395	161	02/26/93
G.J.	AJ	5	3	2	5	5	2	8	06/28/94	Johannes Klein	395	650	04/22/93
a.J.	AK	5	3	2	9	6	2	6	07/12/94	Klein et al.	395	375	10/23/90

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
							YES	NO
AL	W	O-93-2-1-58-6	10/28/93					
AM	W	O-95-0-0-90-7	01/05/95					
AN	W	O-95-0-2-21-7	01/19/95					
AO	W	O-95-1-1-56-0	04/27/95					
AP	W	O-95-1-5-63-5	06/08/95					

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

AR	A-D-Kwok et al., "A Development System for Intelligent Agent Manufacturing Software," <u>Integrated</u>
	Manufacturing Systems, 1994, Vol. 5 No. 4/5, pp. 64-76.
AS	Barbara Hayes Roth, "An architecture for adaptive intelligent systems," <u>Artificial Intelligence</u> , January 1995.
	Volume 72, Numbers 1-2, pp. 329-365.
AT	Siegfried R. Bocionek, "Agent systems that negotiate and learn," <u>International Journal of Human-Computer</u>
	Studies, March 1995, Volume 42, No. 3, pp. 265-288.

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C.J	BA	5	3	6	7	4	5	4	11/22/94	Kawamoto et al.	364	419.20	06/25/93
C.J	BB	5	3	6	7	6	3	5	11/22/94	Bauer et al.	395	200	08/29/91
G.J	BC	5	3	7	1	8	8	9	12/06/94	Johannes Klein	395	650	04/22/93
CA.J	BD	5	3	9	2	3	4	5	02/21/95	Mary R. Otto	379	265	04/30/93
CA.J	BE	5	3	9	8	0	1	2	03/14/95	Jeffrey H. Derby et al.	340	825.03	11/24/92
(X)	BF	5	4	0	8	4	7	0	04/18/95	Lewis V. Rothrock et al.	370	62	10/14/93
(X)	BG	5	4	2	1	0	1	3	05/30/95	Curtis A. Smith	395	650	07/08/93
(X)	BH	5	4	2	3	0	4	3	06/06/95	Fitzpatrick et al.	395	700	01/21/94
G.J	BI	5	4	6	5	2	8	6	11/07/95	Clare et al.	379	34	05/24/94
C.J	BJ	5	4	6	9	5	6	2	11/21/95	Christian D. Saether	395	182.18	06/26/92
C.J	BK	5	4	8	1	6	9	9	01/02/96	Christian D. Saether	395	182.13	03/23/95

		FOREIGN PATENT DOCUMENTS										
		DOCUMENT NUMBER				DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION		
		YES	NO									
		BL	2	0	6	1	1	1	7	02/12/92	Application for Canadian Patent	
		BM	EP	0	51	9	10	9	A1	12/23/92	European	X
		BN	EP	0	58	9	24	9	A2	03/30/94	European	X
		BO	EP	0	59	8	53	4	A1	05/25/94	European	X
		BP	EP	0	61	1	21	0	A1	08/17/94	European	X

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

BR	Darrell Weekl et al, "Uncovering the next generation of active objects," OBJECT magazine, July/August 1995,
	pp. 32-40.
BS	Jan Ozer, "Totally Streaming Multimedia," CD-ROM Professional, August 1996, Volume 9, No. 8, pp. 54-66.
BT	Barbara Hayes Roth et al, "A Domain-Specific Software Architecture for Adaptive Intelligent Systems,"
	IEEE Transactions on Software Engineering, April 1995, Vol. 21, No. 4, pp. 288-301.

EXAMINER *George Davis* DATE CONSIDERED *6/25/98*

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(Use several sheets if necessary)								FILING DATE: March 21, 1997	GROUP: <u>Unassigned</u> 2700

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CD	CA	5	4	8	1	7	1	5	01/02/96	Hamilton et al.	395	700	12/15/93
YJ	CB	5	6	0	3	0	3	1	02/11/97	White et al.	395	683	07/08/93
CC													
CD													
CE													
CF													
CG													
CH													
CI													
CJ													
CK													

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
							YES	NO
	CL	JP 3 19 5 1 4 1	1991	Japan			X	
	CM	JP 4 15 7 9 4 4	1992	Japan			X	
	CN	JP 4 25 6 1 0 1	1992	Japan				X
	CO	JP 5 32 4 0 0 9	1993	Japan				X
	CP	JP 6 17 5 9 4 4	1994	Japan				X

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

CR	Glenn R. Stearns, "Agents and the HP NewWave Application Program Interface," <u>Hewlett-Packard Journal, August 1989,</u> pp.32-37.	
CS	T.J. Grant, "A review of Multi-Agent Systems techniques, with application to Columbus User-Support Organisation," <u>Future</u>	
CT	<u>Generation Computer Systems, May 1992, Volume 7, Number 4, pp. 413- 437.</u>	
	<u>Mufit Ozden, "Intelligent Objects in Simulation," ORSA Journal on Computing, Fall 1994, Vol. 6, No. 4, pp. 329-341</u>	

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	DA						
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FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
							YES	NO
	DL							
	DM							
	DN							
	DO							
	DP							

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

DR	Peter Gibbons et al, "Intelligent Agents in Multi-Media Systems," Sharp Technical Journal, December 1994,
	Volume 60, pp. 11-14.
DS	Cristiano Castelfranchi, "Guarantees for Autonomy in Cognitive Agent Architecture," Proceedings of ECAL-94 Workshop
	on Agent Theories, Architectures, and Languages, Amsterdam, The Netherlands, August 8-9, 1994, pp. 56-70.
DT	Devindra Weerasooriya et al, "Design of a Concurrent Agent-Oriented Language," Proceedings of ECAL-94 Workshop
	on Agent Theories, Architectures, and Languages, Amsterdam, The Netherlands, August 8-9, 1994, pp. 386-401.

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EA							
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		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
							YES	NO
EL								
EM								
EN								
EO								
EP								

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

ER	Agostino Poggi, "DAISY: an Object-Oriented System for Distributed Artificial Intelligence," Proceedings of ECAT-94	
	Workshop on Agent Theories, Architectures, and Languages, Amsterdam, The Netherlands, August 8-9, 1994, pp. 341-354.	
ES	David Kinny et al, "Planned Team Activity," 4th European Workshop on Modelling Autonomous Agents in a Multi-Agent	
	World, MAAMAW '92, S. Martino al Cimino, Italy, July 29-31, 1992, pp. 227-256.	
ET	Stephen Marsh, "Trust in Distributed Artificial Intelligence," 4th European Workshop on Modelling Autonomous Agents in	
	a Multi-Agent World, MAAMAW '92, S. Martino al Cimino, Italy, July 29-31, 1992, pp. 94-112.	

EXAMINER *George Davis* DATE CONSIDERED *6/28/95*

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							YES	NO
FL								
FM								
FN								
FO								
FP								

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

FR	Beerud Sheth et al, "Evolving Agents For Personalized Information Filtering," Proceedings of The Ninth Conference on
	Artificial Intelligence for Applications," Orlando, Florida, March 1-5, 1993, pp. 345-352.
FS	Tremaine A.O. Cornish et al, "What Has Mill to Say about Data Mining?" Proceedings of The 11th Conference on
	Artificial Intelligence for Applications," Los Angeles, California, February 20-23, 1995, pp. 347-353.
FT	Siegfried Bocioneck, "Software Secretaries: Learning-and-Negotiating Personal Assistants for the Daily Office Work,"
	Proceedings of IEEE Int'l. Conf. on Systems, Man and Cybernetics, San Antonio, Texas, Oct. 2-5, 1994, Vol. 1, pp. 7-12.

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		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
							YES	NO
	GL							
	GM							
	GN							
	GO							
	GP							

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

GR	Enrique D. Espinosa, "Intelligent Classroom Information Agent Multimedia Lab & Visual Guides for Datastructures II,"	
	Proceedings of the Int'l. Conf. on Multimedia Computing and Systems, Washington, D.C., May 15-18, 1995, pp. 302-305.	
GS	Rolf Pfeifer et al, "Distributed Adaptive Control: A Paradigm for Designing Autonomous Agents," <u>Toward a Practice of</u>	
	Autonomous Systems, Proceedings of the First European Conf. on Artificial Life, Paris, France, Dec. 1991, pp. 21-30.	
GT	Alison Cawsey et al, "A Comparison of Architectures for Autonomous Multi-Agent Communication," <u>Proceedings of</u>	
	10th European Conference on Artificial Intelligence, Vienna, Austria, August 3-7, 1992, pp. 249-251.	

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FOREIGN PATENT DOCUMENTS

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							YES	NO
HL								
HM								
HN								
HO								
HP								

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

HR	Paul Kearney et al, "Emergent Behaviour in a Multi-Agent Economic Situation," Proceedings of 11th European Conference on Artificial Intelligence, Amsterdam, The Netherlands, August 8-12, 1994, pp. 284-288.	
HS	Wayne Wobcke, "Reasoning about Action from the Perspective of Situation Semantics," Proceedings of the 6th Australian Joint Conference on Artificial Intelligence, Melbourne, Australia, November 16-19, 1993, pp. 71-76.	
HT	Gunilla A. Sundstrom et al, "Cooperative Human-Computer Decision Making: An Experiment and Some Design Implications," Proceedings of the Human Factors and Ergonomics Society 38th Annual Meeting, Nashville, Tennessee, October 24-28, 1994, pp. 220-224.	

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	IA							
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								YES	NO
	IL								
	IM								
	IN								
	IO								
	IP								

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

IR	T. Moody, "AT&T Personalink (SM) - A Public Network for Smart Agent Pies," IEE Colloquium on Roaming with Data, London, UK, March 6 1995, Digest No. 1995/046.
IS	Lech Polkowski et al, "Introducing Rough Mereological Controllers: Rough Quality Control," Proceedings of RSSC '94 3rd Int'l. Workshop on Rough Sets and Soft Computing, San Jose, California, Nov. 10-12, 1994.
IT	Terence J. Parr et al, "A Language for Creating and Manipulating VRML," pp. 123-131, Symposium on the VRML '95, San Jose, California, December 14-15, 1995.

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	JA						
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	JJ						
	JK						

FOREIGN PATENT DOCUMENTS

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							YES	NO
	JL							
	JM							
	JN							
	JO							
	JP							

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

JR	Joseph P. Bigus, "Data Mining with Neural Networks", McGraw-Hill Publishing Company, 1996.	
JS	David M. Chess, "Security Considerations in Agent-Based Systems," For the 1st Annual Conference on Emerging	
	Technologies and Applications in Communications, Portland, Oregon, May 7-10, 1996.	
JT		

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